

SUBJECT:	Fermilab Assessment Manual – Chapter 4 Independent QA Assessment Procedure – Form 2	NUMBER:	3902.1004 FORM 2
RESPONSIBILITY:	Quality Assurance Manager	REVISION:	001.4
APPROVED BY:	Head, Office of Quality and Best Practices	EFFECTIVE:	11/15/2011

Fermilab Independent QA Assessment Report	
Assessment Number & Title: 12-QA-010 AD - Procurement	Version: 1
Date(s) of Assessment: 3/12/12 – 3/16/12	
Performing Organization: Office of Quality & Best Practices	
Assessed Organization(s): Accelerator Division (AD) including the following: <ul style="list-style-type: none"> • Headquarters (HQ) – Budget/Business Services • Proton Source • Accelerator Controls • Cryogenics • Mechanical Support • RF Department • Environment, Safety, and Health (ES&H) <p>According to AD experts, the Budget/Business Services group within AD HQ is responsible for the proper disposition of the division's procurement requisitions. Proton Source personnel establish and provide stable beam to all of the downstream accelerators. The Accelerator Controls organization is responsible for the division's data management and IT support. The Cryogenics Department is responsible for the design, operation and maintenance of cryogenic systems installed as part of the accelerators and transport beam-lines. Mechanical Support personnel design, install and maintain the accelerators' mechanical, cooling and vacuum systems. The RF Department is responsible for the maintenance of high-level RF systems for most of the Division's accelerators. The ES&H department is responsible for division and accelerator-specific environmental, safety and health concerns</p>	
Assessment Activities & Scope: <p>Implementation and effectiveness of controls for procurement described in IQA chapter seven and AD requirements were examined via interview, observation, and document review.</p> <p>Scope Limitations:</p> <p>Inspection and Acceptance Testing, Suspect/Counterfeit Items (S/CI) and BSS procurement activities were excluded.</p> <p>Activities Reviewed Within this Assessment:</p> <ul style="list-style-type: none"> • Purchase Requisition (PR) Processing • LINAC Operations • Cryogenics Engineering • Mechanical Engineering • Electrical Engineering • Computer Networking • Task Management (of Time and Material procurements) • ES&H procurement reviews 	

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Description of the Implementation & Effectiveness of Observed Activities:

Procurement

The requirements of IQA Chapter Seven, Procurement, are met and are effectively implemented within the Accelerator Division. The assessment examined the Budget/Business Services Group (sometimes called Central Purchasing) to determine how procurements for AD are processed. Personnel within the Proton Source, Accelerator Controls, Cryogenics, Mechanical Support, and Engineering Support departments were interviewed to determine how purchase requisitions and ProCard Orders are initiated and how product and service requirements are communicated to suppliers. ES&H personnel were interviewed to determine how NEPA and ES&H reviews of procurements are performed.

A total of 21 purchase requisitions were examined with purchase amounts ranging from under \$300 to over \$960,000. ProCard transactions, T&M requisitions, and standard requisitions were examined including procurements of electrical parts, instruments, and assemblies, storage services, computer software, mechanical part inspection and repair, Cryogenic assemblies, and building repairs and improvements.

The requirements of ADAP-05-0001, Accelerator Division Administrative Procedure for Processing Requisitions, including requirements for approval, routing, and order placement were examined and verified to be effectively implemented within AD. All PRs reviewed contained the necessary signatures and were documented to a level commensurate with the complexity of the product or service being purchased. Documented product and service requirements ranged from part numbers to technical data sheets (File01) to a 42 page Technical Specification (File02). Procurement documentation including Hazard Analysis forms (File03), Work permit and notification forms (File04), Electrical Hazard Analysis/Work permit forms (File05), and Sole Source Justification forms (File06) were verified to be present when required by the type of procurement. In addition, a bid evaluation form (File07) was observed being used to evaluate and select a supplier for PR230084, Cryogenics Module Test Facility (CMTF) Distribution Box.

The requirements of ADSP-08-0601, Accelerator Division ES&H Procedure for Review of Procurement Actions and Proposed Projects, including ES&H/NEPA review were examined and verified relative to procurement. All PRs examined that required an ES&H/NEPA review as determined by the Budget/Business Services Organization contained the AD Compliance Review stamp with the ES&H ID, NEPA ID, and CX fields filled in (File08). The Fermilab ID numbers on the stamp identified the members of the AD ES&H department that had performed the reviews.

Training records indicate that all persons interviewed have taken FN000472, “Sustainable Acquisition” and that two of the three persons who performed ES&H reviews have taken the required training, FN000194, “NEPA Review Training”.

Conclusions:

Documented AD procurement and ES&H/NEPA review procedures are being followed and meet the intent of IQA requirements. Review of a representative sample of procurement records resulted in nearly 100% compliance with requirements (see observations below). Documentation of product and service requirements for procurements is commensurate with the complexity of the item or service being procured. Records show that all personnel interviewed have taken required procurement training with the exception noted in observation three below.

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Findings:

None

Observations and Recommendations:

1. **Observation:** The ProCard User's Guide, revision 1/12 prohibits the use of a ProCard for payment of storage of Fermilab records. The assessment team observed PRN153600 which shows a ProCard being used to pay for back-up tape storage at an Iron Mountain facility. It was reported by AD personnel that responsibility and payment for storage of these tapes will be moved to the BSS Records Management organization shortly.

Recommendation: ProCard holders should review the changes to the ProCard User's Guide for revision 1/12 and be reminded not to use ProCards when purchasing items on the Manual's restricted item list, including storage of Fermilab records.

2. **Observation:** ADSP-08-0001 sections 4.3.a and b are unclear on the specific responsibilities of department heads in determining if ES&H and NEPA reviews are needed.

Recommendation: Determine if ADSP-08-0001 sections 4.3.a and b need to be clarified relative to the specific responsibilities of department heads in determining if ES&H and NEPA reviews are needed and update the sections if necessary.

3. **Observation:** The two regular ES&H/NEPA reviewers have had the required training, FN000194, NEPA Review, but the back-up reviewer has not.

Recommendation: Ensure all personnel that will perform ES&H/NEPA reviews have taken the required training.

Commendable Practices:

None

Persons Interviewed:

Debra Cobb
Cory Crowley
Benjamin Hansen
Ken Hartman
Michael Kucera
Alexander Martinez
Jeffrey Meisner
Ann Nestander
Liujin Pei
John Reid
Craig Rogers
Richard White
Sylvia Wilson

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Documents Reviewed:

- ADAP-05-0001, Accelerator Division Administrative Procedure for Processing Requisitions, revision 4
- ADSP-08-0601, Accelerator Division ES&H Review of Procurement Actions and Proposed Projects, revision 5
- FESHM 5010, Environment, Safety and Health And National Environmental Policy Act Procurement review revision 10/06
- FESHM 5011, Sustainable Acquisition revision 01/2011
- FESHM 8022, Waste Minimization and Pollution Prevention Awareness Program revision 4/2011
- FESHM 8060, National Environmental policy Act (NEPA) Review Program revision 1/2011
- Fermilab Procurement Card (ProCard) User's Guide revision 1/12

Attachments:

- File01-techdatasheet
- File02-techspec
- File03-HAform
- File04-workpermitform
- File05-EEhazardworkpermit
- File06-solesourceform
- File07-bideval
- File08-revstamp

Standards, Regulations, and Other Program Requirements Applied:

The specific criteria applied to this assessment were:

- 1001, IQA revision 2, Chapter 7, Procurement
- Fermilab Procurement Policies & Procedures Manual (including appendices and attachments) revision 09/07/2011

Corrective Action Plans Issued:

None

Assessors' Names (asterisk indicates team leader):

- Bakul Banerjee - CS
- John Martzel* - OQBP

Submitted by: John Martzel

Date: 3/30/12

Distribution (Distribute to assessed organizations' management, OQBP head, and other interested parties):

Roger Dixon
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Bakul Banerjee

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Appendix 1: Procurement Records reviewed

Standard procurement purchase requisitions:

PR227962

PR229147

PR230084

PR230441

PR230552

PR232671

T&M purchase requisitions:

PR228962

PR229106

PR229144

PR229368

PR231369

PR231396

PR232414

PR232661

PR232951

ProCard purchase requisitions:

PRN151824

PRN151966

PRN152280

PRN153169

PRN153600

PRN154342